

Docket No.: 205200US2PCT/jkl

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Yuji UENOHARA, et al.

SERIAL NUMBER: 09/807,963

GROUP: 3691

FILED: June 1, 2001

EXAMINER: AKINTOLA, OLABODE

FOR: SYSTEM FOR EVALUATING PRICE RISK OF FINANCIAL PRODUCT OR ITS
FINANCIAL DERIVATIVE, DEALING SYSTEM, AND RECORDED MEDIUM

COMMENTS ON STATEMENT OF REASONS FOR ALLOWANCE

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SIR:

Applicants acknowledge with appreciation the indication of Allowability of the claimed invention. In response to the Examiner's Statement of Reasons for Allowance in the Notice of Allowance of January 30, 2009, Applicants respectfully submit the following comments.

In the Examiner's Statement of Reasons for Allowance on pages 3 and 4 of the Notice of Allowance mailed January 30, 2009, the paragraph starting at line 3 of page 3 and continuing onto line 2 of page 4 states in part that the art of record:

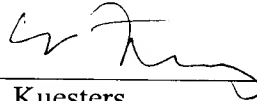
. . . fail to teach a price and risk evaluation system for evaluating a price distribution or risk distribution for a financial product or its derivatives comprising an output unit configured to output analysis of the Boltzmann model analyzer *wherein the Boltzmann model analyzer includes a sampling unit, a price-fluctuation simulation unit, and a probability density calculation unit, and the Boltzmann model analyzer, after receiving at least one of initial values of the price, the price change rate, and the price change direction for the financial product or its derivatives from the initial value setter, a sampling width from the sampling unit, at least necessitated one of the probability-distribution of a price, a price change rate and a price change direction from the velocity/direction distribution setter, and the random number from the random number generator, repeats by the price-fluctuation simulation unit to stimulate a price immediately after the sampling width, a price change rate immediately after the sampling width or a price change direction immediately after the sampling width from a price immediately before the sampling width, a price change rate immediately before the sampling width or a price change*

width, a price change rate immediately before the sampling width or a price change direction immediately before the sampling width based on the Boltzmann model using the Monte Carlo method within the range of the evaluation condition set by the evaluation condition setter, and integrates prices immediately after the sampling width, price change rates immediately after the sampling width or price change directions immediately after the sampling width to obtain a probability density by the probability density calculation unit.

Although the above comment seems to be directed to Claim 1, it is respectfully noted that independent Claim 18 does not include all of the elements recited above. For example, Claim 18 recites the steps of comprising “setting a sampling width” and “inputting at least necessitated one of probability-distributions” and not a system comprising “a sampling unit” and a “velocity/direction distribution setter,” respectively. Accordingly, it is respectfully submitted that the above quoted statement applies only to independent Claim 1, (and claims dependent therefrom), and not to independent Claim 18 to the extent the language used in the statement differs from the language of the claims.

Respectfully Submitted,

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